	Work Instruction for Conducting Research Initiative Performance Reviews	**IVV 09-3-6** **Revision: A** **Effective Date:** **May 25, 2004**
NASA **Independent Verification & Validation Facility**		

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APPROVAL SIGNATURES		DATE
Gregory Blaney (original signature on file)	Management System Representative	05/24/2004

REVISION HISTORY			
Rev. No.	Description of Change	Author	Effective Date
Basic	Initial Release	Frank Gmeindl	09/10/2003
A	Remove implied requirement that performance reviews are quarterly	Lisa Montgomery	05/25/2004

REFERENCE DOCUMENTS	
Document Number	Document Title
NPR 1441.1	NASA Records Retention Schedules Flowchart
IVV 16	Control of Quality Records
IVV 09-3	Research Program

	Work Instruction for Conducting Research Initiative Performance Reviews	IVV 09-3-6 Revision: A Effective Date: May 25, 2004
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1.0 Purpose

The purpose of this procedure is to establish a consistent method for conducting research initiative performance reviews. This work instruction is one of a set of work instructions for implementing System Level Procedure IVV 09-3 Research Program.

2.0 Scope

This procedure is applicable to all research initiatives. This procedure is applicable to all research initiative principal investigators (PIs), research initiative Government Points of Contact (POCs), the IV&V Facility Research Lead, the IV&V Facility Research Chair, the IV&V Facility Support Contractor, and other IV&V personnel involved with the research program.   It covers the Software Assurance Research Program (SARP) as well as Director's Discretionary Fund (DDF) sponsored research.

3.0 Definitions and Acronyms

3.1 Acronyms

CI	Center Initiative
CIM	Center Initiative Management
DDF	Director's Discretionary Fund
IV&V	Independent Verification and Validation
NASA	National Aeronautics and Space Administration
NPG	NASA Procedures & Guidelines
PI	Principal Investigator
POC	Point of Contact
SARP	Software Assurance Research Program
SLP	System Level Procedures

4.0   Flow Chart

Figure 4-1 is a flowchart of the initiative performance review process. The procedures and work instructions for this process are described in section 6 below. The step numbers in Figure 4-1 correspond with the step numbers in section 6.
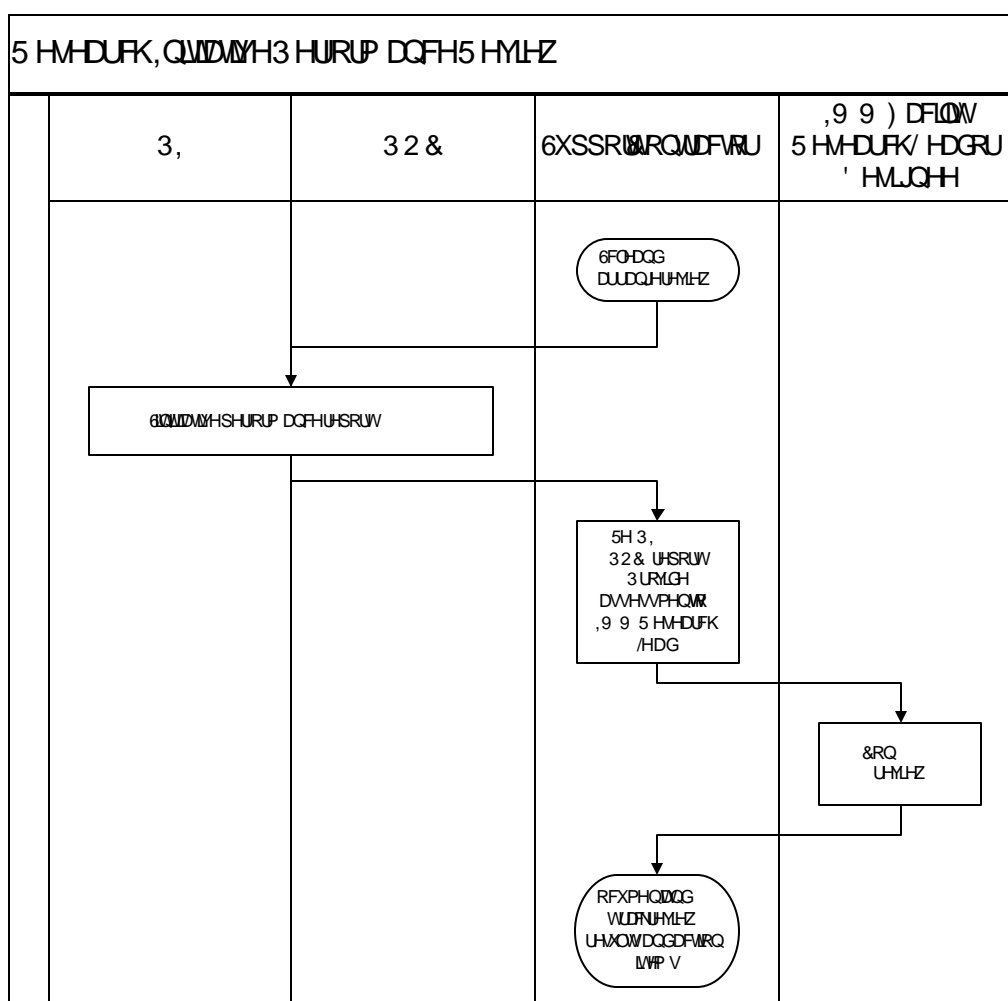

Figure 4-1: Research Initiative Performance Review Process

5.0 Responsibilities

5.1 IV&V Facility Research Lead or Designee

Shall:

- Review initiative performance review reports,
- Conduct initiative performance reviews.

5.2 Support Contractor

Shall:

- Schedule initiative performance reviews,
- Arrange initiative performance review meetings,
- Facilitate initiative performance review meetings,
- Record initiative performance review meeting results and track action items to closure,
- Review initiative performance review reports and provide assessments to IV&V Facility Research Lead,
- Maintain initiative performance review status and data in the CIM Tool.

5.3 Center Initiative Management Tool

Shall:

- Display initiative performance review status,
- Manage initiative performance review report workflow,
- Maintain initiative performance review reports,
- Maintain initiative performance review results.

5.4 Government Points Of Contact

Shall:

- Ensure timely and accurate initiative performance review report submissions into the CIM Tool,
- Present initiative performance review reports at initiative performance review meetings.

5.5 Principal Investigators

Shall:

- Submit timely and accurate initiative performance review reports,
- Support the Government POC in initiative performance review presentations.

6.0 Procedure

The following procedure describes the steps shown in Figure 4-1

6.1 Support Contractor Schedule and Arrange Review

The Support Contractor:

1. Coordinates schedules of all participants and schedules reviews,
2. Arranges initiative performance review meeting facilities,
3. Maintains initiative performance review status in the CIM Tool.

6.2 PI and POC Submits Initiative Performance Report

The Government POC and the PI work together to submit timely and accurate initiative performance review reports. They:

1. Download initiative performance review report template from the CIM Tool,
2. Populate the template,
3. Upload the populated template into the CIM Tool.

6.3   Support Contractor Reviews PI/POC Report and Provides Assessment to IV&V Facility Research Lead

The CIM Tool notifies the Support Contractor that an initiative performance review report has been uploaded to the CIM Tool. The Support Contractor downloads the report, reviews it, and submits an assessment into the CIM Tool. The assessment includes an evaluation of the completeness of the report and insights into the status of initiative deliverables and finances.

6.4   IV&V Facility Research Lead Conducts Review

The IV&V Facility Research Lead leads the initiative performance review meeting. The Support Contractor facilitates the meeting by ensuring that all participants see the submitted review reports, engage in free and open discussion, and that all action items are understood, accepted, recorded and tracked to closure.

6.5   Support Contract Documents and Tracks Review Results and Action Items

The Support Contractor records initiative performance review meeting minutes and action items into the CIM Tool and records action items assigned to IV&V research management personnel in the CIM Tool action item database. These actions are reviewed and tracked to closure in IV&V Facility weekly research meetings.

7.0   Metrics

The IV&V Facility uses the CIM Tool to track planned vs. actual status of initiative performance reviews as well as review reports and review meeting results. On a monthly basis, the IV&V Facility updates and reviews trend charts that show over a fiscal year duration and in monthly increments the cumulative number of reviews planned vs. the cumulative number of reviews held. The results are compared with such performance in the past year to assess change in the success of conducting research initiative performance reviews.

8.0   Records

The following records, as shown in Table 8-1, are generated and managed in accordance with IVV 16 and reference to NPG 1441.1, NASA Records Retention Schedules.

Document Name and Identification Number	User Responsible for Record Retention	Retention Requirement	Location
Delivered Initiative Performance Review Reports	Research Lead	Permanent	CIM Tool
Initiative Performance Review Results	Research Lead	Permanent	CIM Tool
Initiative Performance Review Action Items	Research Lead	Permanent	CIM Tool

Table 8-1: Records Generated and Managed